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PTO/SB/21 (08-00)

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/834,728

Filing Date April 12, 2001

First Named Inventor Chaim M. ROIFMAN

Group Art Unit 1614

Examiner Name To Be Assigned

Total Number Of Pages In This Submission

20 + 138  
REFERENCES

Attorney Docket No.

509942000100

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## ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Reply

☐ After Final

☐ Affidavits/declarations

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement  
(3 Pages)

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/  
Incomplete Application

☐ Response to Missing Parts  
under 37 CFR 1.52 or 1.53

☐ Assignment Papers  
(for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a  
Provisional Application

☐ Power of Attorney, Revocation  
Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) \_\_\_\_\_

☐ After Allowance Communication to  
Group

☐ Appeal Communication to Board of  
Appeals and Interferences

☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify  
below):

Form PTO-1449 + copy (16 Pages)  
138 References  
Return receipt postcard

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm

or

Individual Name

Morrison & Foerster LLP, 755 Page Mill Road, Palo Alto, California 94304-1018

Madeline I. Johnston (Registration No. 36,174)

Signature

*Madeline I. Johnston*

Date

December 11, 2002

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Chaim M. ROIFMAN, et al.

Serial No.: 09/834,728

Filing Date: April 12, 2001

For: NOVEL COMPOUNDS FOR  
MODULATING CELL  
PROLIFERATION

Examiner: To Be Assigned

Group Art Unit: 1614

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INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97 & 1.98

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record. These documents were previously submitted in an Information Disclosure Statement mailed January 14, 2002. Applicants are resubmitting this Information Disclosure Statement because the subject application had been unintentionally abandoned at the time of the initial IDS filing.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - ☐ A fee is required. A check in the amount of is enclosed.
  - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly; no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of is enclosed.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17 is attached to this submission in duplicate.

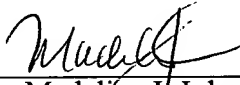
Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 509942000100. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: December 11, 2002

Respectfully submitted,

By:   
\_\_\_\_\_  
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Docket Number 509942000100

Application Number 09/834,728

# INFORMATION DISCLOSURE CITATION IN AN APPLICATION

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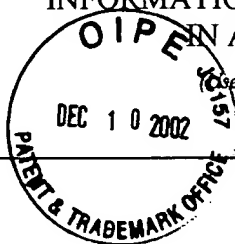
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## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	07/09/1957	2,798,881	Baer et al.			
	2.	03/17/1964	3,125,597	Wahl et al.			
	3.	12/03/1974	3,852,683	Webster et al.			
	4.	04/21/1981	4,263,394	Gates et al.			
	5.	11/19/1985	4,554,238	Bushman			
	6.	10/14/1986	4,617,373	Pruett et al.			
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	8.	08/21/1990	4,950,467	Phalangas et al.			
	9.	03/23/1993	5,196,147	Taketani et al.			
	10.	03/23/1993	5,196,446	Levitzki et al.			
	11.	06/08/1993	5,217,999	Levitzki et al.			
	12.	06/07/1994	5,318,939	Laver et al.			
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	20.	06/30/1998	5,773,476	Chen et al.			
	21.	08/04/1998	5,789,427	Chen et al.			
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	24.	12/22/1998	5,851,999	Ullrich et al.			
	25.	04/06/1999	5,891,917	Tang et al.			
	26.	08/03/1999	5,932,580	Levitzki et al.			
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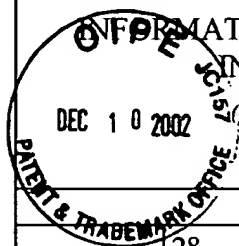
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28.	11/23/1999	5,990,193	Russell et al.
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## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO	
	29.	11/21/1984	EP 0 125 866	Europe				
	30.	09/09/1987	EP 0 235 198	Europe				
	31.	10/04/1989	EP 0 335 641	Europe				
	32.	11/24/1993	EP 0 570 594	Europe				
	33.	09/14/1994	EP 0 614 661	Europe				
	34.	09/18/1996	EP 0 731 697	Europe				
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	37.	10/15/1990	JP 2-254425 *ACS Abstract No. AN 115:18282 HCA	Japan			Abstract*	
	38.	10/14/1991	JP 3-230127 *ACS Abstract No. AN 116:139697 HCA	Japan			Abstract*	
	39.	11/19/1991	JP 3-259126 *ACS Abstract No. AN 116:162099 HCA	Japan			Abstract*	
	40.	07/20/1992	JP 4-198924 *ACS Abstract No. AN 118:90352 HCA	Japan			Abstract*	
	41.	02/06/1992	JP 4-36731 *ACS Abstract No. AN 117:16907 HCA	Japan			Abstract*	
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	43.	03/27/1992	JP 4-96026 *ACS Abstract No. AN 117:222718 HCA	Japan			Abstract*	
	44.	07/13/1993	JP 5-173206 *ACS Abstract No. AN 119:170190 CA	Japan			Abstract*	
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49.	06/01/1995	WO 95/14464	WIPO
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51.	10/05/1995	WO 95/26341	WIPO
52.	12/19/1996	WO 96/40629	WIPO
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Application Number 09/834,728

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66.	Database Crossfire Beilstein 'Online! Beilstein Institut Zur Foederung Der Chemischen Wissenschaften, Frankfurt Am Main, DE; Database-Accession no. 2331300 (BRN), XP002179051
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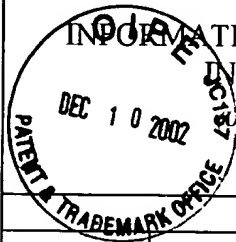
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	Applicant Chaim M. ROIFMAN, et al.	
	Filing Date April 12, 2001	Group Art Unit 1614
	Mailing Date: December 11, 2002	

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Docket Number 509942000100

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Applicant

Chaim M. ROIFMAN, et al.

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Mailing Date: December 11, 2002

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